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PATENT APPLICATION  
Docket No: 11675.22.2.1.3.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Fernando Gonzalez, et al.

Serial No.:

10/804,477

)  
) Art Unit  
) 2812

Confirmation No.:

7257

)

Filed:

March 19, 2004

)

For:

METHOD OF MAKING VERTICAL  
DIODE STRUCTURES

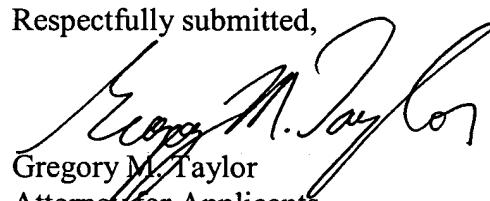
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CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that the following documents are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 19<sup>th</sup> day of August 2004:

- Transmittal for Information Disclosure Statement
- Information Disclosure Statement
- Form PTO-1449
- Copies of five (5) references
- Postcard

Respectfully submitted,

  
Gregory M. Taylor  
Attorney for Applicants  
Registration No. 34,263  
Customer No. 022901  
Telephone No. (801) 533-9800



PATENT APPLICATION  
Docket No: 11675.22.2.1.3.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

- Statement of relevance of selected cited references not in the English language which are not translated.
- Statement that selected cited references are substantially cumulative of an enclosed or previously submitted reference.
- Statement that selected cited references were previously cited by or submitted to the United States Patent and Trademark Office in a prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

#### A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

- Form PTO-1449 listing 57 references submitted for consideration.
- Copies of all of the references listed on the Form PTO-1449 except U.S. patent documents.

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

The transmitted Information Disclosure Statement is being filed within one (1) of the following four (4) time periods:

- I.  Prior to the later of either three (3) months following the filing date or the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.
- II.  Following the latter of either three (3) months following the filing date or the mailing of a first Office Action, but before the mailing of a final Office Action or a Notice of Allowance. Accordingly, to secure consideration thereof, one (1) of the following is also enclosed:
  - Promptness Certification; or
  - Check No. \_\_\_\_\_ in the amount of \$180.00 constituting the submission fee set forth in 37 C.F.R. § 1.17(p).
- III.  After the mailing of a Notice of Allowance, but before payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
  - Promptness Certificate;
  - Petition for Consideration; and
  - Check No. in the amount of \$\_\_\_\_\_ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).
- IV.  After payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
  - Petition to Withdraw from Issue; and

Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

C. Fees

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

Any fee required in relation to filing of this letter or any documents transmitted therewith.

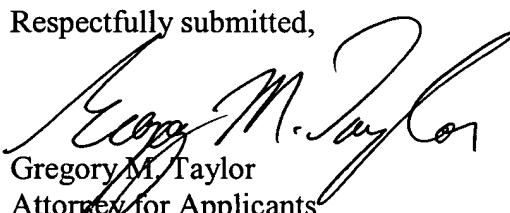
The submission fee set forth in 37 C.F.R. § 1.17(p) in the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).

The submission fee set forth in 37 C.F.R. § 1.17(p).

The petition fee set forth in 37 C.F.R. § 1.17(i)(1).

Dated this 19<sup>th</sup> day of August 2004.

Respectfully submitted,

  
Gregory M. Taylor  
Attorney for Applicants  
Registration No. 34,263  
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Telephone No. (801) 533-9800



PATENT APPLICATION  
Docket No: 11675.22.2.1.3.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. § 1.97**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

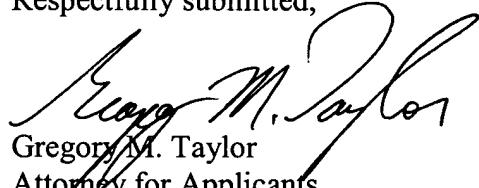
Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

DATED this 19<sup>th</sup> day of August 2004.

Respectfully submitted,

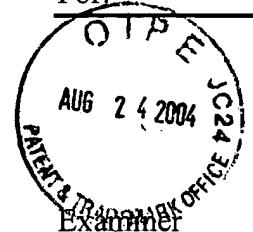


Gregory M. Taylor  
Attorney for Applicants  
Registration No. 34,263  
Customer No. 022901  
Telephone No. (801) 533-9800

GMT: gpm  
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Applicant: Fernando Gonzalez, et al.  
 Serial No.: 10/804,477  
 Filing Date: March 19, 2004  
 For: METHOD OF MAKING VERTICAL DIODE STRUCTURES

Confirmation No.: 7257  
 Att'y Docket No.: 11675.22.2.1.3.1  
 Group: 2812



### INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

#### U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
____ 1	3,615,929	10/26/1971	Portnoy et al.
____ 2	3,664,896	05/23/1972	Duncan
____ 3	3,777,364	12/11/1973	Schinella et al.
____ 4	3,914,137	10/21/1975	Huffman et al.
____ 5	3,928,095	12/23/1975	Harigaya et al.
____ 6	3,990,099	11/02/1976	Duigon et al.
____ 7	4,404,737	09/20/1983	Kanzaki et al.
____ 8	4,414,737	11/14/1983	Menjo et al.
____ 9	4,530,149	07/23/1985	Jastrzebski et al.
____ 10	4,589,193	05/20/1986	Goth et al.
____ 11	4,619,887	10/28/1986	Hooper et al.
____ 12	4,666,556	05/19/1987	Fulton et al.
____ 13	4,742,014	05/03/1988	Hooper et al.
____ 14	4,784,969	11/15/1988	Nitayama
____ 15	4,922,319	05/1990	Fukushima
____ 16	5,022,742	06/1991	Hains
____ 17	5,070,383	12/1991	Sinar et al.

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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____ 18	5,162,245	11/10/1992	Favreau
____ 19	5,163,178	11/10/1992	Gomi et al.
____ 20	5,213,989	05/25/1993	Fitch et al.
____ 21	5,231,038	07/27/1993	Yamaguchi et al.
____ 22	5,236,851	08/17/1993	Kameyama et al.
____ 23	5,236,852	08/17/1993	Cherniawski et al.
____ 24	5,268,316	12/1993	Robinson et al.
____ 25	5,272,097	12/1993	Shiota
____ 26	5,355,301	10/1994	Saito et al.
____ 27	5,366,908	11/22/1994	Pelella
____ 28	5,407,851	04/1995	Roesner
____ 29	5,420,053	05/30/1995	Miyazaki
____ 30	5,441,907	08/1995	Sung et al.
____ 31	5,464,782	11/07/1995	Koh
____ 32	5,494,848	02/27/1996	Chin
____ 33	5,567,644	10/1996	Rolfson et al.
____ 34	5,589,418	12/31/1996	Kalnitsky
____ 35	5,508,224	04/16/1996	Jang
____ 36	5,510,287	04/23/1996	Chen et al.
____ 37	5,529,943	06/25/1996	Hong et al.

Examiner:

Date Considered:

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____ 38	5,550,075	08/27/1996	Hsu et al.
____ 39	5,597,741	01/28/1997	Sakamoto et al.
____ 40	5,616,946	04/01/1997	Hsu, et al.
____ 41	5,652,182	07/29/1997	Cleeves
____ 42	5,670,417	09/23/1997	Lambson et al.
____ 43	5,683,939	11/04/1997	Schrantz et al.
____ 44	5,714,768	02/03/1998	Ovshinsky et al.
____ 45	5,739,563	04/14/1998	Kawakubo et al.
____ 46	5,773,346	06/30/1998	Manning
____ 47	5,780,343	07/14/1998	Bashir
____ 48	5,804,476	09/08/1998	Jang
____ 49	5,856,214	01/05/1999	Yu
____ 50	5,998,244	12/07/1999	Wolstenholme et al.
____ 51	6,057,195	05/02/2000	Wu
____ 52	6,420,725 B1	07/16/2002	Harshfield

#### Foreign Patent Documents

Examiner <u>Initial*</u>	Document <u>Number</u>	Publication <u>Date</u>	Country or <u>Patent Office</u>	<u>Translation</u>
____ 53	01112780 A	05/01/1989	Japan	Abstract

Examiner: \_\_\_\_\_ Date Considered: \_\_\_\_\_

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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<u>      </u> 54	01196863 A	08/1989	Japan	
<u>      </u> 55	03280582 A	12/11/1991	Japan	Abstract
<u>      </u> 56	DE 10005774 A1	08/23/2001	Germany	Abstract

Other Documents

(including author, title, pertinent pages, etc.)

Examiner  
Initial\*

       57 Wolf, Silicon Processing for the VLS1 Era, Vol. 1, Process Technology, pages 136-139, Lattice Press

**References Cited by Applicants**

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

Examiner:

Date Considered: